



SECTION F – RECORDS

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Policy - Section F - Records

I. Authority

The Lawrence Livermore National Laboratory Procedure on Privacy of and Access to Information is established to express the principles and intent of the University of California Legal Requirements on Privacy of and Access to Information and with recognition of the Laboratory's obligation under Contract W-405-ENG-48 to comply with applicable Federal laws.

Five laws are covered in this statement: the [Federal Freedom of Information Act](#) and the [State of California Public Records Act](#), which concern public access to information, and the [Federal Privacy Act of 1974](#) and the [California Information Practices Act of 1977](#), and the [Health Insurance Portability & Accountability Act of 1996](#), which concern the privacy of information maintained on individuals.

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II. Public Access to Laboratory Public Records

Members of the public have access to Laboratory public records as defined under the California Public Records Act or the Freedom of Information Act.

II.1. California Public Records Act (Government Code §§ 6250-6270)

The California Public Records Act (CPRA) applies to Laboratory owned administrative and fiscal records except those exempted by Government [Code 6254](#) and/or the Freedom of Information Act.

CPRA provides that access to information concerning the conduct of the people's business is a fundamental and necessary right of every person in this State; that public records must be open to public inspection during regular office hours; and that every citizen has the right to inspect any public record except as provided in the Act.

Upon a request for a copy of records the Laboratory shall, within 10 days from receipt of the request, determine whether the request, in whole or in part, seeks copies of releasable public records in the possession of the Laboratory.

II.2. Freedom of Information Act (5 U.S.C. § 552)

The Federal Freedom of Information Act (FOIA) applies to DOE-owned Laboratory records of a scientific or technical nature and to records systems maintained for DOE.

FOIA sets forth standards relevant to public access to these records and can be found at http://www.usdoj.gov/oip/foia_updates/Vol_XVII_4/page2.htm

Requests for access to information under the Freedom of Information Act should be directed to the Freedom of Information Officer, Department of Energy, NNSA, Albuquerque Office, P.O. Box 5400, Albuquerque, NM 87185-5400.



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III. Privacy of and Access to Laboratory Records Pertaining Specifically to Personal Data

III.1. Federal Privacy Act of 1974 (5 U.S.C. § 552a); Application to the Laboratory

[The Federal Privacy Act](#) is designed to protect certain privacy interests of persons about whom the Federal Government maintains records, and to grant to those individuals certain access rights to those records. Except with respect to social security numbers, it applies to the Laboratory only for the following records systems maintained at the Laboratory for DOE:

- Personnel Radiation Exposure Information.
- Employee and Visitor Access Control Records.
- Government Drivers License Files.
- Government Vehicles Accident Reports.
- Personnel Assurance Records.
- Medical Histories-DOE Employees.
- Firearms Qualification Records.

Requests for access to information of these records systems should be directed to the Privacy Act Administrative Officer, Department of Energy, NNSA, Albuquerque Office, P.O. Box 5400, Albuquerque, NM 87185-5400.

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III.2. Laboratory's Use of Social Security Numbers

The Federal Privacy Act and the [California Civil Code Section 1798](#) pertain to the Laboratory in relation to use of the social security number. When the Laboratory asks an individual for his/her social security number, that person must be told whether disclosing his/her number is mandatory or voluntary, by what authority the number is requested, and the uses that will be made of it. Furthermore, the Laboratory may not deny privileges provided by law because of that individual's refusal to disclose his/her social security number, unless

- The disclosure is required by law or
- The Laboratory's system of records, which requires the social security number, was in existence and operating before January 1, 1975, the disclosure is required by law or



Laboratory procedure in effect prior to that date, or the disclosure is needed to verify the identity of an individual.

When requesting the social security number from an individual, his/her rights under the Federal Privacy Act are explained by use of a written statement.

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III.3. State of California Public Records Act (Govt. Code 6250-6270)

The California Public Records Act exempts personal information from disclosure to the public. The term "personal information" means any information in any record maintained by the Laboratory about an individual that is not included in the definitions of nonpersonal information. This includes, but is not limited to, home address and telephone number, outside employment history, spouse or other relatives' names, employment history including performance appraisals and corrective or dismissal actions, birthdate, citizenship, social security number, income tax withholding, payroll deductions, and group insurance data.

The term "nonpersonal information" means limited factual data that could not, in any reasonable way, reflect or convey anything detrimental, disparaging, or threatening to an individual's reputation, rights, benefits, privileges, or qualifications. The following information about Laboratory employees is within this definition:

- Name.
- Date of hire or separation.
- Current job classification and/or position title.
- Current rate of pay.
- Organization unit assignment, including office address and telephone number.
- Current job class description and/or position description.
- Fulltime or part-time employment.
- Employment status.

Additional employment information may be required to be released to the public as determined by the General Counsel of The Regents and the Senior Vice President-Administration.

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III.4. State of California Information Practices Act of 1977 (Civil Code section 1798)

III.4.1. Definitions

Special procedures for providing access to and protecting the privacy of Laboratory records containing personal data are required by the California Information Practices Act of 1977.

The term "personal information" means any information that is maintained by an agency that identifies or describes an individual, including, but not limited to, his or her name, social security number, physical description, home address, home telephone number, education, financial matters, and medical or employment history. It includes statements made by, or attributed to, the individual

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III.5. Collection of Material Maintained

The Laboratory will collect information to be maintained in a record directly from the individual to whom it relates to the greatest extent practical. If information is collected from another source, a record of the source will be maintained in a readily accessible form. Only the information that pertains to individuals and that is relevant and necessary to accomplish a purpose of the Laboratory or is otherwise required or authorized by law shall be maintained.

The Laboratory will collect information to be maintained in a record directly from the individual to whom it relates to the greatest extent practical. If information is collected from another source, a record of the source will be maintained in a readily accessible form. Only the information that pertains to individuals and that is relevant and necessary to accomplish a purpose of the Laboratory or is otherwise required or authorized by law shall be maintained.

When an individual is asked to complete a form used to supply confidential or personal information, a written statement containing the following will be given to the individual or included on the form, unless the statement has been given to the individual during the previous twelve months ([Fig. F-1](#)):

- a. The name of the Laboratory department or office that is requesting the information.
- b. The title and Laboratory address of the person who is responsible for the maintenance of the information.
- c. The Laboratory, UC, or DOE policy or other legal authority that authorizes the maintenance of the information.
- d. Whether submission of the information is mandatory or voluntary.
- e. The consequences, if any, of not providing all or any part of the requested information.
- f. The principal purpose or purposes for which the information is to be used.
- g. The individual's right to review records containing personal information to be maintained on him/her by the Laboratory and the University.



- h. Any known or foreseeable transfer of the information to a governmental agency.

**UNIVERSITY OF CALIFORNIA
LAWRENCE LIVERMORE NATIONAL LABORATORY
PRIVACY NOTIFICATION**

The Laboratory collects and maintains information about each employee for use in miscellaneous payroll and personnel matters. The following notice with respect to that information is provided as required by the [California Information Practices Act of 1977](#):

The principal purpose for collecting and maintaining this information is for use in matters such as but not limited to payment of earnings, withholding of State and Federal taxes, effecting authorized payroll deductions, reimbursement for travel costs, and the administration of compensation, benefits, health and safety, and general personnel programs. Laboratory and University policy and State and Federal statutes authorize the collection, maintenance, and use of this information.

The furnishing of the information requested for these purposes is mandatory - failure to provide such information will delay and may prevent the completion of payroll and personnel actions. The information furnished will be used by various Laboratory and University departments for the above-described purposes and will be transmitted to Federal and State governments as required by law.

Individuals have the right to review their own records in accordance with Laboratory and University policies. Information on these policies may be obtained from the Human Resources Manager.

The official responsible for maintaining the above-described information is the Human Resources Associate Director.

Figure F-1. Privacy Notification.

This section does not apply to any enforcement document issued by an employee of a law enforcement agency in the performance of his or her duties wherein the violator is provided an exact copy of the document, or to accident reports whereby the parties of interest may obtain a copy of the report under Section 20012 of the California Vehicle Code.

The notice required by this section does not apply to Laboratory or University requirements for an individual to provide his or her name, identifying number, photograph, address, or similar identifying information if the Laboratory or the University uses this information only to identify and communicate with the individual, except that requirements for an individual's social security number shall conform with the provisions of the [Federal Privacy Act of 1974](#) and the [California Information Practices Act of 1977](#).

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III.6. Health Insurance Portability and Accountability act of 1996 (HIPAA)

The [Health Insurance Portability and Accountability Act of 1996](#) (HIPAA), which went into effect on April 14, 2003, establishes national standards to guard the privacy of a patient's protected health information. Protected health information includes:

Information created or received by a health care provider or health plan that includes health care treatment and payment information plus information that personally identifies the individual patient or plan member.

Personal identifiers include:

- a patient's name and email, web site and home addresses;
- identifying numbers (including Social Security, medical records, insurance numbers, biomedical devices, vehicle identifiers and license numbers);
- full facial photos and other biometric identifiers; and
- dates (such as birth date, dates of admission and discharge, death).

If you believe that the Lab is not complying with applicable HIPAA Privacy Rule requirements, you may file a complaint. All complaints must be in writing, name the entity or individual that is the subject of the complaint, and describe the activities believed to be in violation of the Privacy Rule. The complaint must be filed within 180 days of the activity. Mail complaints to:

LLNL Privacy Official
PO BOX 808, L-708
Livermore, CA. 94551
or

AA Privacy Official
Division of Clinical Services
Development
University of California Office of
President
1111 Franklin Street
Oakland , CA 94607-5200

III.6.1. Penalties

HIPAA calls for severe civil and criminal penalties for noncompliance, including: fines between \$100- \$25,000 for multiple violations of the same standard in a calendar year, and fines between \$50,000 - \$250,000 and/or imprisonment up to 10 years for knowing misuse of individually identifiable health information.

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III.7. Access to Personal Records

III.7.1. General Requirements

Each individual shall have the right to inquire and to be notified as to whether the Laboratory maintains a record about himself/herself.



When, in response to a request, the Laboratory notifies an individual as to whether or not records exist pertaining to that individual, the Laboratory shall include in such notice the title and business address of the official responsible for the records, how to gain access to the records, and how to contest the contents of the records.

The Laboratory shall develop procedures whereby individuals, including, but not limited to, Laboratory employees and officials, individuals not employed by the Laboratory, governmental agencies, corporations, partnerships, firms, and associations can appeal a Laboratory decision regarding personal and confidential information.

Information provided by the Laboratory will be in a form reasonably comprehensible to the general public.

The Laboratory may not disclose any personal or confidential information that it maintains on an individual unless allowed under the guidelines immediately following in Paragraphs [III.7.2.1.](#), [III.7.2.](#), [III.7.3.](#), and [III.7.4.](#)

III.7.2. Access by Individual Subject of the Record

III.7.2.1. Personal Information

Records containing personal information shall be made available to the individual subject of the record upon an unsolicited written or oral request and with proper identification.

A record shall be made available within thirty calendar days of the receipt of the request, except that an inactive record located at a storage center or records that are geographically dispersed shall be made available within sixty calendar days from the receipt of the request. Failure to reply to the request within these time limits shall be considered a denial of the request.

The record or an exact copy of the record may be inspected at the Laboratory. An individual may have an exact copy of all or any portion of the record within fifteen calendar days of the inspection. If the individual requesting access cannot come to the Laboratory to inspect records, the individual may request, in writing, that the Laboratory mail an exact copy of the records to a designated address. Such written request shall be accompanied by a certification that the requester is the individual to whom the information pertains. In the absence of other administratively acceptable verification of identity, the requester shall be required to complete and return a certification and request form.

Records containing personal information shall be made available to the individual subject of the record upon an unsolicited written request and with proper identification.

A record shall be made available within thirty calendar days of the receipt of the request, except that an inactive record located at a storage center or records that are geographically dispersed shall be made available within sixty calendar days from the receipt of the request. Failure to reply to the request within these time limits shall be considered a denial of the request.

The record or an exact copy of the record may be inspected at the Laboratory. An individual may have an exact copy of all or any portion of the record within fifteen calendar days of the inspection. If the individual requesting access cannot come to the Laboratory to inspect records, the individual may request, in writing, that the Laboratory mail an exact copy of the records to a designated address. Such written request shall be accompanied by a certification that the requester is the individual to whom the information pertains. In the absence of other



administratively acceptable verification of identity, the requester shall be required to complete and return a certification and request form.

In disclosing information in a record to any individual, the Laboratory will not disclose any personal information relating to another individual or any confidential information in the record except as provided in this section.

Information, including letters of recommendation, compiled for the purpose of determining suitability, eligibility, or qualifications for employment, reappointment, advancement, or promotion, and received with the promise that the identity of the source of the information would be held in confidence (or, if compiled prior to July 1, 1978, with the understanding that the identity of the source of information would be held in confidence), shall be released to the individual to whom the information pertains as follows:

- A copy of the text of the material with such deletions made as necessary to protect the identity of the source of the information, or
- A comprehensive summary of the information.

However, the identity of the source of the information shall be released to the individual if the source is the employee's supervisor.

Full disclosure shall be made to the individual of any personal information that could reasonably in any way reflect or convey anything detrimental, disparaging, or threatening to an individual's reputation, rights, benefits, privileges, or qualifications, or that could be used by the Laboratory to make a determination that would affect an individual's rights, benefits, privileges, or qualifications.

Pursuant to the Information Practices Act, the Laboratory is not required to disclose certain personal information to the individual to whom the information pertains. Such information includes, but is not limited to information that:

- Is compiled for the purpose of identifying individual criminal offenders and alleged offenders;
- Is compiled for the purpose of a criminal investigation of suspected criminal activities, including reports of informants and investigator, and associated with an identifiable individual;
- Is maintained for the purpose of an investigation of an individual's fitness for employment or service at the Laboratory, or of a grievance or complaint, or a suspected civil offense, so long as the information is withheld only so as not to compromise the investigation, or a related investigation. The identifies of individual who provided information for the investigation may be withheld;
- Would compromise the objectivity or fairness of a competitive examination for appointment or promotion in public service;

Is required by statute to be withheld from the individual to whom it pertains.

III.7.3. Access by Laboratory, UC, and DOE Employees and Officials

Laboratory, UC, and DOE employees, officials, or volunteers shall have access to specific information in the records when necessary to perform their assigned duties and if the use of such records is consistent with the purpose(s) for which the information was acquired.



III.7.4. Access to Personal Records by All Others

The Laboratory will not disclose any personal information maintained on an individual to others unless:

- The individual to whom the record pertains has given prior written consent within thirty calendar days of the disclosure or within a time limit specified by the individual in the written consent.
- The individual to whom the record pertains has a duly appointed guardian or conservator, or is represented by another person, and it can be proven with reasonable certainty that such person is the authorized representative of the individual to whom the information pertains.
- The information is available to members of the public under the [California Public Records Act](#). This includes information that is part of an individual's employment with the Laboratory. The following information shall be released to a member of the public upon request: the employee's date of hire or separation, percent of time worked, employment status, current job title, current rate of pay, organizational unit assignment, and current job description. Additional employment information may be required to be released to the public as determined by the University General Counsel and the Senior Vice President-Administration.
- The Laboratory has received advance, adequate, written assurance that the information will be used solely for statistical research or reporting purposes, and the information is in a form that will not identify an individual.
- The transfer of the information to a person or a state agency is necessary for the transferee agency to perform its constitutional or statutory duties, and such use is compatible with a purpose for which the information was collected.
- The record is required by State or Federal law to be released to a governmental entity.
- The Laboratory determines that compelling circumstances exist that affect the health or safety of an individual. A notice that the information has been disclosed will be sent to the individual at his/her last known address.
- The disclosure is pursuant to a subpoena, court order, or other circumstances under which the Laboratory is required by law to release the information if, before the disclosure, the Laboratory reasonably attempts to notify the individual.
- The disclosure is pursuant to a search warrant.
- The disclosure is to a law enforcement agency when required for investigation of criminal activity, unless such disclosure is otherwise prohibited by law.
- The information is to a department of the University or a nonprofit educational institution conducting scientific research, provided the request for information includes assurances of the need for personal or confidential information, procedures for protecting the confidentiality of the information, and assurances that the personal identity of the subject shall not be further disclosed in individually identifiable form.
- The disclosure is to a committee of the State Legislature or to a member of the State Legislature when the member has the permission of the individual to whom the information pertains.



- The disclosure is for the sole purpose of verifying and paying government health care service claims made under California Welfare and Institutions Code Division 9, Sections 100000 et seq.
- The disclosure is to another person or governmental organization to the extent necessary to obtain information from the person or organization as necessary for the Laboratory or University to investigate a failure to comply with a specific State law which the Laboratory or University is responsible for enforcing.

Questions concerning the disclosure of information to others shall be directed to the Information Practices Officer

III.7.4.1. Procedure for Access by Agencies Investigating Complaints of Discrimination or Conducting Compliance Reviews

Requests from a governmental agency for access to personal information about any employee or other individual shall be referred to the Laboratory's Information Practices Officer.

III.7.5. Locating the Record for Access

If the Laboratory cannot locate a record by reference to the individual's name only or when locating a record by name only would be an unreasonable administrative burden, the Laboratory may require the individual to give additional identifying information to aid in locating the record.

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III.8. Recording of Access to Records

The Laboratory shall maintain records of disclosure of personal information that are made:

- Pursuant to a determination by the Laboratory that compelling circumstances exist which affect the health or safety of an individual,
- Pursuant to any subpoena, court order, search warrant, or other compulsory legal process, or to a law enforcement agency when required for an investigation of criminal activity, or
- To a governmental agency as required by law or to fulfill a constitutional or statutory duty, unless a notice of the type of disclosure has already been provided at the time of collection.

The record of disclosure shall include the identity of the requester (name, title, and business address) and the date, nature, and purpose of each disclosure.

Records of disclosures shall be retained for three years after the disclosure or until the original file for which the information was disclosed is destroyed, whichever is sooner.

After July 1, 1978, the Laboratory shall inform any person or agency to whom a record containing personal or confidential information has been disclosed during the preceding three years of any correction of an error or notation of a dispute if:

- An accounting of such disclosure is required (see above).



- The name of the person or agency to whom this disclosure was made is known.

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III.9. Fees

The Laboratory may charge an individual for copies of a record. Such charges shall exclude the cost of any search for and review of the record and shall not exceed ten cents per page.

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III.10. Amendments and Corrections to a Personal Record

The Laboratory shall permit an individual to request in writing an amendment of a record and shall, within thirty days of the date of receipt of such request:

- Make each correction and inform the individual of such corrections, or
- Inform the individual of its refusal to amend the record, the reason for the refusal and the procedures established by the Laboratory for the individual to request a review of the refusal.

The review is to take place within thirty days of the request. If good cause is demonstrated the Laboratory may extend the review period for an additional thirty days.

If the individual requests a review of the refusal and after such review the Laboratory refuses to amend the record, the Laboratory shall permit the individual to file a statement of reasonable length setting forth the reasons for the individual's disagreement. The Laboratory, with respect to any disclosure containing information about which the individual has filed a statement of disagreement, shall clearly note any portion of the record that is disputed, and make available copies of the individual's statement and copies of a concise statement of the reasons for not making the amendment, to any person to whom the disputed record has been or is disclosed.

After July 1, 1978, the Laboratory shall inform any person to whom a record has been disclosed during the preceding three years of any correction of an error in the record or of any dispute about the record if the name and address of the person to whom the disclosure was made is known.

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III.11. Reports

Once a year, each Laboratory department, division, or office shall report each system of records maintained that identifies individuals by name or other identifying number or symbol.

The following information for each system of records containing personal or confidential information shall be included on the form provided by the Director's Office:

- a. The name of the department, division, or office that maintains the information, and the name or title and description of the system of records.
- b. The categories of individuals and the approximate number of individuals on whom the records are maintained.
- c. Each major use or purpose for the personal or confidential information within the system.
- d. The legal authority under which the personal or confidential information is maintained.
- e. The disposition schedule for the information.
- f. The general sources of the information.
- g. Certain disclosures of information to a governmental agency.

Instructions, deadlines for submission, and necessary forms for compiling this information will be sent to each department by the Director's Office.

The Director's Office shall send this information to the Office of the President for transmittal to the State Office of Information Practices, as required by law.

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III.12. Civil Remedies and Penalties

The [California Information Practices Act of 1977](#) provides civil remedies to individuals that include:

- If the University or Laboratory refuses to comply with an individual's lawful request to inspect personal information, that individual may bring a civil action against the University or Laboratory, in which case the court may enjoin the University or Laboratory from withholding the relevant records and may order the production of the records.
- If the University or Laboratory fails to maintain any records concerning any individual with such accuracy, relevancy, timeliness, and completeness as is necessary to ensure fairness in any determination relating to the qualifications, character, rights, opportunities of or benefits to the individual that may be made on the basis of such record, or if the University or Laboratory fails to comply with any other provisions of the Information Practices Act of 1977, the affected individual may bring a civil action against the University or Laboratory, and the University or Laboratory can be held liable to the individual for actual damages sustained, including damages for mental suffering and for the costs of the action, together with reasonable attorney's fees, as determined by the court.



The above-authorized civil actions shall not apply with respect to an allegation that an opinion which is subjective in nature, as distinguished from a factual assertion, about an individual's qualifications, in connection with a personnel action, was not accurate, relevant, timely, or complete.

Any University or Laboratory employee, other than an employee acting solely in his/her official capacity, who intentionally discloses information not otherwise public which he/she knows or reasonably should know was obtained from personal or confidential information maintained by the Laboratory or from "records" within a "system of records" (as such terms are defined in the [Federal Privacy Act of 1974](#)) maintained by a Federal governmental agency shall be subject to a civil action for invasion of privacy by the individual to whom the information pertains. In any successful action brought pursuant to that civil action, the complainant, in addition to any special or general damages awarded, shall be entitled to recovery no less than \$1,000 as well as attorney's fees and other litigation costs reasonably incurred in the suit.

An officer or employee of the University or Laboratory who intentionally violates any provision of the Information Practices Act, or any rules or regulations adopted hereunder may be disciplined; such discipline may include termination of employment.

Any person who willfully requests or obtains any record containing personal or confidential information from the University or Laboratory under false pretenses shall be guilty of a misdemeanor and fined not more than \$5,000 or imprisoned not more than one year or both.

HIPAA calls for severe civil and criminal penalties for noncompliance, including: fines between \$100- \$25,000 for multiple violations of the same standard in a calendar year, and fines between \$50,000 - \$250,000 and/or imprisonment up to 10 years for knowing misuse of individually identifiable health information.

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III.13. Recordkeeping - Procedure

A procedure for the collection and maintenance of information in each records system shall be established. The procedure shall include

- Safeguards established to ensure the security and confidentiality of the records and to control access to the records.
- Rules of conduct for employees responsible for the collection, maintenance, and disclosure of information in the records, or for the design of records systems.
- Information on the physical location of the records and on the retention periods for the records.
- Processes for maintaining accurate, relevant, timely, and complete records.
- Processes for ensuring that an individual's name and home address are not distributed for commercial purposes, or sold or rented by the Laboratory, unless specifically authorized by law. Upon written request of any individual, the Laboratory will remove



that individual's name and home address from a Laboratory mailing list, unless the mailing list is used exclusively by the Laboratory to contact that individual.

- Processes for ensuring that no information is modified or destroyed in order to avoid compliance with the [California Information Practices Act of 1977](#).
- Processes that protect and limit the non-consensual use and release of private health information.
- Extension of the requirements of the Information Practices Act to any personal or confidential records maintained or operated for the Laboratory under contract.

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III.14. Rules of Conduct for Employees with Recordkeeping Responsibilities - Procedure

Employees with responsibilities for collecting, maintaining, using, and/or disseminating personal and confidential information about individuals, including applicants for employment, employees, consultants, contract personnel, participating guests, and visitors, must comply with the provisions of the [California Information Practices Act of 1977](#).

Each employee with recordkeeping responsibilities shall become familiar with and abide by the rules listed in this section.

Collection of Information

Collect no personal or confidential information from an individual or about an individual unless necessary and relevant to the purposes of the Laboratory and to the particular function for which the employee is responsible.

Collect the information, whenever possible, directly from the individual to whom it relates.

Inform the individual when the information is collected of the authority for the collection, the purposes for the collection, the uses that will be made of the information, and the effects, both practical and legal, of not providing the information.

Neither collect, maintain, use, or disseminate information concerning an individual's membership in associations or organizations or his/her political, religious, or social activities unless: the individual volunteers the information; the information is expressly authorized to be collected, maintained, used, and disseminated; or the information is pertinent to and within the scope of an authorized investigation.

Advise the Information Practices Officer before establishing any new system of records containing personal or confidential information about individuals.

Access to Information

Make every reasonable effort to respond to inquiries and requests by individuals to inspect or receive copies of the records maintained on them quickly and without requiring the individual to repeat the request to others unnecessarily.



Lawrence Livermore National Laboratory

Provide assistance to individuals seeking information about themselves that will help them make the inquiry sufficiently specific and descriptive so as to facilitate locating the requested records.

Disclose no personal or confidential information to others unless specifically authorized to do so.

Ensure that personal and confidential information about individuals is not disclosed to unauthorized individuals. (Refer to [Section F.III.7](#) . Consult the Information Practices Officer if there is any question.)

Never seek out or use personal or confidential information about others for your own personal interest or advantage.

Remember that the intentional disclosure of personal or confidential information about individuals to unauthorized persons or the acquiring of such information for your personal use may be cause for disciplinary action.

Maintain and process information about individuals with care so that no inadvertent unauthorized disclosure of information is made.

Maintain an accounting of all disclosures to others as required by this policy.

Safeguards

Ensure that all necessary precautions are taken to safeguard the confidentiality of personal and confidential information about individuals.

Keep all records maintained on paper or microfilm/microfiche in locked files, safes, or other secured places.

Take care when working with the records that unauthorized persons do not inadvertently gain access.

Never leave records on a desk or table when unattended by an individual authorized to have access to the information.

Establish, as necessary, written procedures to safeguard the confidentiality of records for which you are responsible.

Establish physical, technical, and administrative safeguards for all information maintained in computer systems.

General

Review, at least annually, each system of records containing personal and confidential information about individuals for which you are responsible to ensure compliance with policy.

Call to the attention of the Information Practices Officer any information that is maintained without authorization or that is inaccurate, irrelevant, or so incomplete as to risk unfairness to the individuals concerned.

Be aware of the [civil remedies and penalties](#) described in this policy.

Personal/Confidential Records Report List

Type of Record

Custodian of Record



Business Records

- | | |
|---|------------------------------|
| 1. Business (including travel and vendor Business Services Department payments) | Business Services Department |
| 2. Purchase orders (including subcontracts) | Procurement Department |
| 3. LabTrans Records | Human Resources |
| 4. Notaries Public | Laboratory Counsel |

General Correspondence

Director's Office,
Department/Division Office

Health and Safety

- | | |
|---|----------------------------|
| 1. Safety (including accident and injury) | Hazards Control Department |
| 2. Medical and Psychological | Health Services Department |

Legal (including copyrights and legal process documents)

- | | |
|---|--------------------|
| 1. Copyrights and legal process documents | Laboratory Counsel |
| 2. Collective Bargaining | Human Resources |

Personnel and Payroll

- | | |
|--|--|
| 1. Personnel | Human Resources |
| 2. Affirmative Action | Human Resources |
| 3. Employee Education and Training | Human Resources |
| 4. Employee Counseling | Human Resources |
| 5. Outside Employment/Conflict of Interest | Human Resources |
| 6. Applicant Record System | Human Resources |
| 7. Payroll and Time Reporting | Finance |
| 8. Consultants | Procurement Department |
| 9. Military and Research Associates | Director's Office |
| 10. Skills Bank | Director's Office |
| 11. Grievance Records | Human Resources |
| 12. Employee Biographies | Director's Office,
Department/Division Office |
| 13. Nuclear Emergency Search Team Roster | Director's Office |
| 14. Emergency Contact List | Human Resources |

Police and Security



Lawrence Livermore National Laboratory

1. Security Case Files

Safeguards and Security
Department

2. Security Administration Records

Safeguards and Security
Department

3. Personnel Security Records

Safeguards and Security
Department

Research Proposals

Associate Directors

Miscellaneous

1. Archives

Laboratory Archivist

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For policy-related questions, contacts are:

[Employment Representatives](#), [Patricia Rzeszutko](#) X 2-6597

For web-related questions about this page, contact: [Workforce Planning and Analysis, SEDD](#)

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